



INDIANA DEPARTMENT OF TRANSPORTATION  
*Professional Services Bulletin*  
**ON LINE**

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JOSEPH E. KERNAN, Governor  
J. BRYAN NICOL Commissioner

Professional Services Bulletin - 2004- No. 15

July 23, 2004

This "Professional Services Bulletin" is the official notice of professional services requested by the Indiana Department of Transportation (INDOT). You may submit statements of interest if you have qualifications data currently on file with INDOT's Consulting Services Unit or submit qualifications data with the statement of interest. A statement of interest must include a technical proposal, describing the capabilities and proposed method of completing the requested services.

Statements of interest must comply with the following requirements:

1. Submit ten (10) copies of a statement of interest for each item.
2. Write the following information on the outside of the container containing the statements of interest:
  - a. "PSB - 2004 - No. 15"
  - b. Name of firm submitting statement of interest
  - c. Item number(s) for which the firm has enclosed the statement(s) of interest.
3. INDOT will not accept statements of interest sent collect or be responsible for the consultant's mailing and/or shipping costs.
4. For joint ventures, indicate the work and estimated percentage of the total project to be performed by each participant. If selected, all joint venture participants will be required to sign the INDOT consultant contract as wholly responsible parties.
5. Only statements of interest received by the Consulting Services Unit prior to:  
**4:00 P.M., Indianapolis time, August 20, 2004,**  
will be given consideration. Statements of interest received after the deadline will be returned to the consultant unopened.
6. Send statements of interest to:  
Jodi Williams, Program Coordinator  
Consulting Services Unit  
Indiana Department of Transportation  
100 North Senate Avenue, Room N730  
Indianapolis, Indiana 46204-2249

The Indiana Department of Transportation will ensure that all certified Disadvantaged Business Enterprises (DBE) will be afforded full opportunity to submit statements of interest and will not discriminate against any consultant on the grounds of race, color, religion, sex, disability, national origin, or ancestry in the selection process.

All consultants selected to provide services shall be required to comply with the following:

A. INDOT Disadvantaged Business Enterprise Program:

1. General

- a. Notice is hereby given to the consultant or subConsultant that failure to carry out the requirements set forth in 49 CFR, Part 26 shall constitute a breach of contract and, after notification, may result in termination of the contract or such remedy as the state deems appropriate.
- b. The referenced section requires the following policy and disadvantaged business enterprise (DBE) obligation to be included in all subsequent agreements between the consultant and any subConsultant:
  - (1) It is the policy of the Indiana Department of Transportation that disadvantaged business enterprises, as defined in 49 CFR Part 26, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds under this contract. Consequently, the DBE requirements of 49 CFR Part 26 will apply to any contract entered into as a result of this "Professional Services Bulletin".
  - (2) The consultant agrees to ensure that disadvantaged business enterprises, as defined in 49 CFR Part 26, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with federal funds provided under contracts with INDOT. In this regard, the consultant shall take all necessary and reasonable steps, in accordance with 49 CFR Part 26, to ensure that disadvantaged business enterprises have the maximum opportunity to compete for and perform contracts. The consultant shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of federally-assisted contracts.
  - (3) In accordance with the STURAA of 1987, women business enterprises (WBE) have been considered to be socially and economically disadvantaged; therefore the DBE program has been combined.
- c. As part of the consultant's equal opportunity affirmative action program, it is required that the consultant shall take positive affirmative actions and put forth good faith efforts to solicit statements of interest from and to utilize disadvantaged business enterprise subConsultants, vendors or suppliers.

2. Definitions

The following definitions apply to this section:

- a. "Disadvantaged Business Enterprise" or DBE means a for profit small business concern that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals, and whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.
- b. "Small Business Concern" means a small business concern as defined pursuant to section 3 of the Small Business Act and SBA regulations implementing it (13 CFR Part 121) that also does not exceed the cap on average annual gross receipts specified in 49 CFR Sec. 26.65(b).

- c. “Socially and Economically Disadvantaged Individuals” means (i) any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis; or (ii) any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
  - (1) Black Americans which includes persons having origins in any of the Black racial groups of Africa;
  - (2) Hispanic Americans which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
  - (3) Native Americans which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians;
  - (4) Asian-Pacific Americans which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong;
  - (5) Subcontinent Asian Americans which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;
  - (6) Women;
  - (7) Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.
- 3. Subcontracts
  - a. If the consultant intends to subcontract a portion of the work, the consultant is required to take affirmative actions to seek out and consider disadvantaged business enterprises as potential subConsultants prior to any subcontractual commitment.
  - b. The contracts made with potential disadvantaged business enterprise subConsultants and the results thereof shall be documented and made available to INDOT and the Federal Highway Administration when requested.
  - c. In those cases where the consultant originally did not intend to subcontract a portion of the work and later circumstances dictate subletting a portion of the contract work, the affirmative action contracts covered under paragraphs 3.a. and 3.b. of this section shall be performed.
  - d. No subletting will be approved until the consultant demonstrates compliance with paragraphs 3.a. and 3.b. of this section by submitting Form DBE-2 when subcontracts with non-DBE firms are proposed.
- 4. Affirmative Actions
 

The consultant agrees to establish and conduct a program which will enable disadvantaged business enterprises to be considered fairly as subConsultants under this contract. In this connection the consultant shall:

  - a. Designate a liaison officer who will administer the consultant's disadvantaged business enterprise program.
  - b. Ensure that known disadvantaged business enterprises will have an equitable opportunity to compete for subcontracts, so as to facilitate the participation of disadvantaged business enterprises.
  - c. Maintain records showing (1) procedures which have been adopted to comply with the policies set forth in this clause, including the establishment of a source list of disadvantaged business enterprises, (2) awards to disadvantaged business enterprises on

- the source list and, (3) specific efforts to identify and award contracts to disadvantaged business enterprises.
- d. Cooperate with the state in any studies and surveys of the consultant's disadvantaged business enterprise procedures and practices that the state may from time to time conduct.
  - e. Submit periodic reports of subcontracting to known disadvantaged business enterprises with respect to the records referred to in subparagraph (3) above, in such form and manner and at such times as the state may prescribe.
5. **Leases and Rentals**  
The consultant shall notify the Indiana Department of Transportation when purchases or rental of equipment (other than leases for hauling) are made with disadvantaged businesses. The information submitted shall include the name of the business, the dollar amount of the transaction, and the type of purchase made or type of equipment rented.
6. Your firm will not be considered a disadvantaged business enterprise (DBE) unless it is currently certified by the Indiana Department of Transportation. If you feel your firm qualifies, please contact George M. Roney, Economic Opportunity Manager, Room N855 of the Indiana Government Center North, Indianapolis, Indiana 46204, to obtain the proper forms. This is not prequalification...only certification. DBE firms must meet all applicable Indiana eligibility standards for the level and type of participation anticipated.
7. **Goal Compliance.** An aspirational proposal DBE goal may be incorporated into this Professional Services Bulletin. Such goal, if incorporated, has been established as the *desired minimum* amount to be contracted to certified DBEs. The Consultant shall meet or exceed the goal, or demonstrate that it could not be met despite “*Good Faith Efforts*”. Achievement of this contract goal does not relieve the Consultant of the requirement for affirmative actions on subsequent subcontracting or partnering on this contract. Only work with DBEs that are certified prior to the date of notice to proceed, unless waived for special conditions, will count toward the goal. Credit towards contract goals will be given only for work performed by certified DBEs in the work areas for which they have been certified. The same requirements with respect to obtaining the goal apply for a Consultant that is certified as a DBE. A DBE Consultant must either achieve the goal utilizing other DBE firms or demonstrate that the goal could not be met despite “good faith efforts”.

A written request for changes in utilization of DBEs listed in the Affirmative Action Certification shall be approved prior to start of listed services. Requests to reduce or eliminate the services provided by a listed DBE, that include written statement of agreement from the DBE, may be considered sufficient justification, if the committed DBE utilization after the requested change will meet or exceed the contract goal or a lesser percentage approved prior to execution of the contract. If the committed DBE utilization, after the change, does not meet or exceed the contract goal or a lesser percentage approved prior to execution of the contract, or the listed DBE does not agree with the change, the Consultant shall submit documented evidence that the DBE is unable to perform successfully. Disposition of the request for change will be determined on the basis of the affirmative actions taken as required herein.

*When a DBE firm is removed from eligibility, the Consultant shall take the following steps:*

1. *If a subcontract has not yet been executed, the Consultant shall not count work performed by the firm toward the contract goal. The Consultant will be directed to meet the contract goal with an eligible DBE firm or demonstrate that it has made a good faith effort to do so.*

2. *If a subcontract has been executed before the firm has been declared ineligible, the Consultant shall continue to count work performed by the firm toward the contract goal.*

DBE joint ventures Type A (Separate firms performing separate identifiable work as separate firms) do not require DBE joint venture certification. DBE joint ventures Type B (Separate firms merging as one to perform work) do require DBE joint venture certification. A request for DBE joint venture Type B certification shall be submitted not later than 9:00 a.m. local time at least two (2) days prior to the submission date and shall be approved prior to the submission of the proposal in order to receive credit toward the DBE goal. The DBE(s) involved shall be certified as DBEs prior to requesting DBE joint venture certification. The work for the DBE shall be identified, performed, managed, and supervised by its forces in accordance with industry standards and practices and 49 CFR, Part 26.

8. ***Guidelines for Determining Good Faith Efforts.*** *Appendix A of 49 CFR Part 26 has been used for guidance in preparing the Department's procedures to determine the adequacy of good faith efforts. Additional factors consistent with 49 CFR Part 26, and the Department's policies and procedures have also been utilized.*

*The following factors will be considered in determining good faith efforts. The Consultant, including DBE Consultants, shall submit evidence on each of the factors.*

1. *The Consultant shall make reasonable effort to contact all appropriate ready, willing, and able DBEs who express a desire to work on any phase of the work required in accordance with this PSB.*
2. To effectively participate, the DBE shall have the opportunity to review the potential scope of work and submit statements of interest prior to the submission deadline. Information provided by the Consultant to the DBEs shall include, at a minimum, all appropriate information required for an appropriate response, and the date and time the desired response.
3. The Consultant shall select the portions of the work to be performed by DBEs in order to increase the likelihood of DBE participation. This shall include, where appropriate, an attempt to break down the contract into economically feasible units to facilitate DBE participation.
4. The Consultant, primarily, and DBE Supportive Services shall provide the interested DBEs with available information about the potential scope of work of the project. Attempts shall be made to have appropriate information available or to notify the DBE of the location of such available information. The Consultant shall notify the DBE of all appropriate revisions.
5. It will be considered unacceptable to avoid subcontracting to DBEs, if such subcontracting to DBEs results in the need to further subdivide work elements.
6. The Consultant shall negotiate in good faith with interested DBEs and not reject such DBEs as unqualified without sound reasons based on thorough investigation of their capabilities. Confirmed documentation that a DBE has not been able to perform previous work through no fault of others will be considered to be sound reason.

Unacceptable criteria include, but are not limited to, unsubstantiated oral statements and unsigned documentation.

7. The Consultant shall make efforts to provide reasonable assistance to interested DBEs to facilitate their participation. However, the Consultant shall affirmatively consider waiving requirements it may have in order to assist the DBE.
8. Only firms certified as DBEs prior to the notice to proceed, unless waived, can be used to meet the contract goal for the Department's DBE Program.
9. **Affirmative Action Certification.** The Affirmative Action Certification, included within this Professional Services Bulletin, shall be completed when the Proposal is submitted to the Department. The certification shall list all DBEs or shall state the reasons DBEs are not listed. Blank certifications shall cause the proposal to be rejected. The Affirmative Action Certification shall include a brief explanation stating the type of work or services that the DBE is performing. Failure to do so may affect the award of the contract. *In addition to the listing of DBE firms that will be used to meet the goal, the Consultant shall also provide an estimated percentage for the amount of work that it anticipates will be performed by other DBE firms on the contract, beyond the goal requirements, if any.*

Upon completion of the contract and subsequent payment of its subConsultants and/or receipt of notification from the Department, a Disadvantaged Business Enterprise Utilization Affidavit, Form *DBE-3*, shall be completed by the Consultant and returned to the Department. The Consultant and the DBE subConsultant shall certify on Form *DBE-3* the actual specific amounts have been paid and received. *A DBE-3 Form certification shall be completed and submitted for every DBE utilized on the contract, not just those listed on the Affirmative Action Certification.*

10. **Records and Reports.** The Consultant shall keep such records as necessary to determine compliance with its DBE utilization obligations and compliance with the Guidelines for *Determining* Good Faith Efforts. The records kept by the Consultant shall indicate the minimum requirements as follows:
11. **Good Faith Efforts Procedures.** The Consultant will be considered to have made good faith efforts if it either
  - (1) Documents that it has obtained enough DBE participation to meet the goal, or
  - (2) Documents that it made adequate good faith efforts to meet the goal even though it did not succeed in obtaining enough DBE participation to do so.

If a DBE goal has been established for the contract, the Consultant shall take good faith efforts to achieve the established goal prior to the proposal submission. The Affirmative Action Certification shall be completed and submitted with the Proposal to indicate proposed DBE utilization or to state the reasons no DBEs are listed and submitted with the Proposal.

If no DBEs are listed, the reasons shall include an explanation of what positive efforts have been taken to achieve the DBE goal. Submission of an incomplete statement may result in rejection of the proposal.

The selection of the Consultant will be made based on the proposal and its compliance with the Professional Services Bulletin when all other requirements have been met and good faith efforts have been taken toward meeting the DBE goal, if required, in accordance with these requirements.

If the proposer has achieved less than the DBE goal, the proposer shall have included, with their proposal, documented evidence of its good faith efforts to achieve the DBE goal. All affirmative actions taken to achieve the goal shall be identified. Failure to include the required "Good Faith Efforts" documentation may result in rejection of the proposal.

Good faith efforts of the Consultant will be reviewed for compliance with the "Good Faith Efforts" requirements. If the Commissioner determines that adequate good faith efforts have been made, the selection will be made.

If the Commissioner determines that the good faith efforts were inadequate, the Department may, within the established procedures, reject the proposal and award to the next eligible proposer. The Consultant shall agree to waive all claims of whatever nature arising out of the Commissioner's decision.

The Commissioner's final order will be the final decision of the Department. A party objecting to the Commissioner's decision may seek legal remedies through judicial review.

- 12. Record Keeping.** All firms performing work on Department contracts, submitting proposals, quotes or proposals on Department contracts, or offering proposals for subcontracts or services shall register with the Department, annually, by submitting the following information to the Department's Economic Opportunity Section, Room N855, 100 N. Senate Avenue, Indianapolis, IN 46204 or fax it to (317)-233-0891.

- (a) firm's name;
- (b) firm's address;
- (c) firm's status as a DBE or non-DBE;
- (d) the age of the firm; and
- (e) the annual gross receipts of the firm
- (f) approximately how many Department projects has the firm bid, quoted, or submitted proposals in the past twelve months. ( If none, please indicate 0 )
- (g) staff's listing by qualification with experience
- (h) in which of the following markets has the firm participated?
  - 1. Consultant
  - 2. SubConsultant
  - 3. Other (Identify)

**13. Payment:**

Within 10 (ten) business days of receipt of payment for any such estimate, the Consultant shall make payment to all subConsultants for the value of their work performed in place in accordance with this contract. Failure to comply with this clause shall constitute a material breach of the contract and may result in sanctions under the contract.

Any delay or postponement of payment among the parties may take place only for good cause, with the Department's written approval. The explanation from the Consultant shall be made in writing to the Department prior to scheduled payment date.

**Contract Goal:**

**A contract provisional goal of 10% has been established as the minimum amount to be contracted to certified Disadvantaged Business Enterprise firms under this PSB.**

**B. Drug-Free Workplace Certification**

A certification is required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana as a requirement on all contracts and grants with the state of Indiana in excess of \$25,000.00. No award of a contract or grant shall be made, and no contract, purchase order or agreement shall be valid unless and until a certification has been fully executed by the consultant and attached to the contract or agreement as part of the contract documents. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the contract or agreement and/or debarment of contracting opportunities with the state for up to three (3) years.

By signing the certification, which will be attached to the consultant contract, the consultant certifies and agrees that it will provide a drug-free workplace by:

- (a) Publishing and providing all employees engaged in the performance of the contract a statement notifying such employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the consultant's workplace and specifying the actions that will be taken against employees for violations of such prohibition;
- (b) Establishing a drug-free awareness program to inform such employees about (1) the dangers of drug abuse in the workplace; (2) the consultant's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace;
- (c) Notifying such employees in the statement required by subparagraph (a) above that as a condition of continued employment on the contract resulting from this solicitation, the employee will (1) abide by the terms of the statement; and (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction;
- (d) Notifying in writing the Indiana Department of Administration within ten (10) days after receiving notice under subdivision (c)(2) above, from an employee or otherwise receiving actual notice of such conviction;
- (e) Within thirty (30) days after receiving notice under subdivision (c)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency; and
- (f) Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (a) through (e) above.

Before any contract will be made, the consultant must agree to the above terms. A certification agreeing to such will be attached to each consultant contract which must be signed by the consultant.

**C. Facilities Capital Cost of Money (September 1987)**

1. Facilities capital cost of money will be an allowable cost under the contemplated contract, if the criteria for allowability in subparagraph 31.205-10(a)(2) of the Federal Acquisition Regulation are met. One of the allowability criteria requires the prospective Consultant to propose facilities capital cost of money in its offer.



2. If the prospective Consultant does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

Selection of consultants by the Indiana Department of Transportation is not based on competitive bidding. Selections are based upon the following list of evaluation factors in order of their importance:

1. consultant's related work experience and qualifications to perform the work,
2. staff personnel available for this project and consultant's existing work load and ability to complete the work in the time required,
3. performance on similar work,
4. understanding of the project,
5. project approach.

All firms submitting a statement of interest in response to this Professional Services Bulletin will be notified after the consultant selection has been approved.

## Item No. 1

The Indiana Department of Transportation (INDOT) is seeking statements of interest from engineering firms who wish to be considered for corridor project management and preliminary design of US 31 in Hamilton County from 96<sup>th</sup> Street, just south of I-465, to 216<sup>th</sup> Street, just north of SR 38. The Draft Environmental Impact Statement and other project information may be found at [www.us31indiana.com](http://www.us31indiana.com).

The consultant selected for this item will be responsible for the following activities:

- Corridor Project Management through final design including oversight and coordination of the project team, preparation and execution of a strategic plan and master schedule, community/public involvement planning and execution, and corridor cost tracking and management.
- Set profile grade and alignment and preliminary drainage design for the entire corridor including interchanges, ramps and S-lines and coordinate final grades with final design consultants. Preliminary plan development up to approximately 25%.
- Structure size and type determination for all bridge structures.
- Preliminary R/W plans for the entire corridor.
- Traffic impact / simulation analysis.
- Maintenance of traffic planning for entire corridor.
- Recommendation to INDOT for construction contract segmenting and sequencing.
- Recommendation to INDOT for final design contract segmenting. Final design services will be advertised at a later date. The selected consultant may be considered for completion of final design of a portion of the corridor.
- Preliminary signing plan for the entire corridor.
- Plan review of final design.
- Environmental mitigation and coordination of permits for the entire corridor.
- Noise abatement analysis and design for the entire corridor.
- Utility coordination for the entire corridor.
- Context Sensitive Solution recommendations for the entire corridor.
- 3D visualization capabilities desired.

The corridor topographic survey will be provided by INDOT. This will be a cost-plus fixed fee contract. Estimated Construction Cost: \$430,000,000

**A mandatory pre-submittal meeting will be held on August 5, 2004 at 1:30 pm in the Indiana Government Center South Conference Center Auditorium (402 W. Washington St., Indianapolis) to present background information on the project and to answer questions. A time for DBE firm introductions and networking will also be allowed.**

### Approximate Schedule

1. Start Plan Development – July 2005
2. Profile grade and alignment plans, preliminary drainage plans, preliminary right-of-way plans, structure size and type plans and preliminary maintenance of traffic plans for entire corridor along with design files and documents for the section design consultants due January 1, 2007.

## STATEMENT OF INTEREST

Prospective consultants should submit ten (10) copies of a statement of interest (SOI) for each item in accordance with the following criteria:

Cover – The cover page shall indicate the consultant name or in the case of a joint venture the names of the primary team members. The cover page shall also indicate the relevant item number.

Length - Proposals will be limited to 100 pages in length (single sided or 50 pages double sided, 8-1/2"x 11") not including covers, tabs and Affirmative Action Certification. 11"x 17" sheets may be included if folded to 8-1/2"x 11" and will count as 2 pages. All appendices will count as part of the 100 pages.

Business Organization - State the full name and address of your organization and, if applicable, the branch or subordinate office that will perform or assist in performing the work. Indicate whether you operate as an individual, partnership or corporation. If a corporation, include the state in which you are incorporated. If more than one firm is involved in this project, state the type of arrangement between the firms and the percentage of work to be performed by each.

Subconsultants – List the firms and/or individuals who are anticipated to be used as subconsultants for this project. Provide detailed information regarding the qualifications and experience during the past five years of the individuals in those firms who will be assigned to work on this project.

Project Approach – Provide a statement of your understanding of the work elements involved in this project with a detailed outline of your proposal to achieve each work element. Include, in concept from previous experience, how design segmenting and construction segmenting and sequencing would be determined and how traffic might be controlled during construction.

Current Workload – Include a discussion of your current workload and personnel availability for this project. Include a matrix showing all key personnel indicated for this project, their percentage of commitment to this project, if selected, and their percentage of commitment to existing and pending contracts with the Indiana Department of transportation. For existing and pending contracts where a commitment percentage was previously indicated as part of the proposal for selection the percentage shown should not vary from what was previously indicated. Any variance from previous commitment percentages must be explained.

Personnel – An organizational chart showing all firms involved and key personnel assignments is required. Also, include a personnel summary form for each firm and listing of personnel forms for each office of each firm listing all persons expected to work on the project by their permanently assigned office location. For key personnel include a description of their experience relative to the individual's identified responsibility on the project.

Corridor Relationships Statement – Include a list and explanation of all existing team business relationships with entities that would have a known direct interest in this project. This would include relationships with local government agencies, affected property owners, etc.

## **PRESENTATIONS**

Oral presentations for the Short-Listed Consultant Teams are tentatively planned for the week of September 20. The subject of the presentations will be to illustrate to INDOT the Consultant Team's work plan, relevant experience and capacity to complete the project on schedule.

Questions during the advertisement period are to be directed to Mr. Jeff Clanton at [jclanton@indot.state.in.us](mailto:jclanton@indot.state.in.us).

## PERSONNEL SUMMARY FORM

**Name of Firm :**

List the number of employees at each work location for each Personnel Category available for INDOT design and/or survey work. Only full time employees shall be listed. Do not list any employees more than once. **Employees that are working on non-highway transportation work should be listed as Personnel Category - Q.**

PERSONNEL CATEGORIES	OFFICES	
(*) Personnel Categories Code	Indiana	Others
<b>Principal</b>		
(A) Registered Professional Engineer		
(B) Non-Registered Graduate Engineer		
(C) Registered Land Surveyor		
(D) Non-Registered Land Surveyor		
(E) Non-Engineer/Non-Surveyor		
<b>Project Manager</b>		
(F) Registered Professional Engineer		
(G) Non-Registered Graduate Engineer		
(H) Registered Land Surveyor		
(I) Non-Registered Land Surveyor		
(J) Non-Engineer/Non-Surveyor		
<b>Design Engineers</b>		
(K) Registered Professional Engineer		
(L) Non-Registered Graduate Engineer		
<b>Design Technicals - Non-Engineers</b>		
(M) Other Professionals, Planners, etc.		
(N) Engr. Technicians, Draftsman, etc.		
<b>Surveying Technicals</b>		
(O) Registered Land Surveyor		
(P) Surveying Technicals		
<b>Support Personnel</b>		
(Q) Other Firm Personnel		
<b>Totals</b>		

## LISTING OF PERSONNEL FORM INSTRUCTIONS

Provide the requested information for all of the employees that you expect to use on INDOT projects. Personnel shall be listed by office, in alphabetical order, starting a new page for each office.

### Office Location

Show the Office Location address at the top of each page from the Office Address Listing Form.

### 1. Name

Names shall be listed in alphabetical order by last name. Only full time employees shall be listed. No employee shall be listed for more than one office. Employees who work in more than one office shall be listed only for the office in which the most time is spent.

### Personnel Category

Show the Personnel Category Code (A through Q) as shown at the left of each Personnel Category Description from the Personnel Summary Form. Indicate only one Personnel Category for each employee. If more than one Personnel Category applies to an employee, indicate the category in which the employee is expected to devote the most time. Employees listed under Personnel Category "Q" do not need to be listed.

### Years of Experience

For each employee indicate the number of years of experience with your firm and the total number of years of experience.

### 2.a. Project

List the project that each employee spent the most time on last year.

### 2.b. Type of Work

For each employee list the principle type of work performed, bridge design, road design, site design, drafting, survey, environmental, right-of-way engineering, others, etc.

## Listing of Personnel Form

Name of Firm: \_\_\_\_\_ Office Location: \_\_\_\_\_

[illegible]

**AFFIRMATIVE ACTION CERTIFICATION**

I do hereby certify that it is the intention of my company to affirmatively seek out and consider certified DBEs to participate as part of this proposal

I understand and agree that all subconsulting in connection with this proposal, whether undertaken prior to or subsequent to the notice to proceed will be in accordance with the requirements for the Disadvantage Business Enterprise Program, included elsewhere in this PSB. I understand and agree that no subcontracting will be approved or commenced until the Department of Transportation has reviewed and approved the affirmative actions taken by my company or me.

I understand that utilization of certified DBEs is in addition to all other equal employment requirements of this PSB.

I acknowledge that this certification is to be made an integral part of this proposal.

I understand and agree that the submission of a blank certification shall cause the proposal to be rejected.

I hereby certify that contact has been made with the certified DBEs listed in this certification. If my company becomes the CONSULTANT, the certified DBEs have tentatively agreed to perform the services. I understand that neither my company nor I will be penalized for amounts achieved over or under the amount shown for voluntary DBE utilization anticipated over the goal. However, INDOT may request an explanation for any variances.

**SUBCONSULTANTS****Certified DBE Name & Address****Type(s) of Work**

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.

Approximate Percentage Credited toward DBE Goal (RC)\_\_\_\_\_

Approximate Percentage of Voluntary DBE Work Anticipated over DBE Goal (RN)\_\_\_\_\_

Name of Company\_\_\_\_\_

By:\_\_\_\_\_ Date\_\_\_\_\_

\_\_\_\_\_  
Individual's Name and Title (printed or typed)